

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0006

Status: INACTIVE
Date Approved: 10/15/2020

General Information

Agency or Establishment	Department of Energy
Record/Scheduling Group	0434 - General Records of the Department of Energy
Records Schedule Applies To	Agency-wide
Schedule Subject	Records Disposition Schedule 1.1: Financial Management and Reporting Records
Additional Schedule Information	<p>There were a total of sixteen (16) schedule items from DOE Administrative Schedules 3, 4, 6, 7 and 9 that were rolled into six (6) DOE schedule items, four (4) to GRS schedule items and three (3) items have been rescinded.</p> <p>This schedule encompasses financial management and reporting records documenting the procurement of goods and services, bill paying, debt collection, accounting for financial transactions, monitoring agencies' net worth, pension, and insurance.</p> <p>NOTE: Refer to GRS 1.1 for all other Financial Management and Reporting records not addressed in this schedule.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 5

Number of Temporary disposition items: 4

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 5

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Outline of Records Schedule Items for DAA-0434-2020-0006

Item #	Title	Disposition
0001	Contractor Pension Case Files : Continuing Obligation	Temporary
0002	Contractor Pension Case Files : No Continuing Obligation	Temporary
0003	Casualty Insurance Case Files	Temporary
0004	Unique Procurement Files	Permanent
0005	Debarment Investigation Case Files	Temporary

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Records Schedule Items

Group Title	Contractor Pension Case Files	
Group Description	Pension plan case files that include, but are not limited to: <ul style="list-style-type: none"> • pension plans, • modifications, and amendments; • correspondence, • reports, • studies, and analyses; • negotiations; • DOE requirements for acceptance and modification; • funding and cost data; and • industry pension plan comparability studies. 	
DAA-0434-2020-0006-0001	STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION		
Item Title	Continuing Obligation	
Item Description	Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	DOE 1.1, Item 010	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-98-6 / 3/1/A	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. This item was superseded by DAA-0434-2021-0001-0001 on 05/14/2024.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.	

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Retention Period	Destroy 80 year(s) after cutoff	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
DAA-0434-2020-0006-0002		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	No Continuing Obligation	
Item Description	Case for which DOE has no continuing obligations for liability after contract completion or termination.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	DOE 1.1, Item 020	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-98-6 / 3/1/B	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. This item was superseded by DAA-0434-2021-0001-0002. on 05/14/2024.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off annually in year contract completed or terminated. Destroy 6 years after cutoff.	
Retention Period	Destroy 6 year(s) after cutoff	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0434-2020-0006-0003	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	

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Item Title	Casualty Insurance Case Files	
Item Description	<p>Casualty insurance plan case files that consist of casualty insurance coverage plans; including, but not limited to:</p> <ul style="list-style-type: none"> • policies, • endorsements, • reports, • correspondence, • studies, • analyses, • actuarial data and computations; and • Information showing premium adjustments, coverage, funding, billing and losses incurred. <p>NOTE: Cases assigned to or administered by DOE upon contract completion or termination and cases for which DOE has no obligation or liability after contract completion or termination.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
MANUAL CITATION		
Agency Code	DOE 1.1, Item 030	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-98-6 / 3/2/A	No	
N1-434-98-6 / 3/2/B	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. This item was superseded by DAA-0434-2021-0001-0004. on 05/14/2024.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.	
Retention Period	Destroy 80 year(s) after cutoff	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		

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GAO Approval Required	No
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DAA-0434-2020-0006-0004	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Unique Procurement Files
Item Description	Procurement files, including, but not limited to procurement and grant files that: <ul style="list-style-type: none"> • document the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs • new technology on alternative energy sources or to the innovative application of technology to reduce energy dependencies
Is this item media neutral?	Yes
Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	DOE 1.1, Item 040
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
N1-434-91-6 / 1/A/1	No
NC1-430-77-8 / 1	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item was superseded by DAA-0434-2021-0001-0005. on 05/14/2024.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at procurement completion or transaction completion.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 25 year(s) after cutoff
ADDITIONAL INFORMATION	

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Approximate first year of records covered by this authority	1977
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/1977 To: --/--/1995
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0434-2020-0006-0005	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Debarment Investigation Case Files
Item Description	<p>Consists of documents relating to investigations of Contractors or Grant recipients resulting in the debarment or suspension from contracting with or receiving assistance from the DOE.</p> <p>The case files include, but are not limited to:</p> <ul style="list-style-type: none"> • Inspector General reports • Attorney recommendations for action • Suspension notifications • Hearing transcripts • Briefs and motions • Final determinations and settlement agreements for debarment and for suspension cases • Other related records <p>Exclusion: Excludes documentation of approved, suspended and debarred vendors and bidder records not related to an “investigation”. Utilize GRS 1.1, Items 070 and 071 for Vendor and Bidder Information.</p> <p>Citations: 48 CFR Federal Acquisition Regulations System, Part 9 Contractor Qualifications</p> <ul style="list-style-type: none"> • 48 CFR Subpart 9.4 Debarment, Suspension, and Ineligibility <p>10 CFR 606 Government-wide Debarment and Suspension 48 CFR 909.403 Definitions</p>
Is this item media neutral?	Yes

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Is this item a Big Bucket?	
MANUAL CITATION	
Agency Code	DOE 1.1, Item 050
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-434-05-01 / A	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item was superseded by DAA-0434-2021-0001-0003. on 05/14/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off when case closed, the debarment period or voluntary exclusion period is closed, whichever is later. Destroy 6 years after cutoff.
Retention Period	Destroy 6 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	10/15/2020